

#3

PTO-1449 Information Disclosure Citation in an Application	Application No. 09/241,823	Applicant(s) Kevin J. Ziese	
	Docket Number 062891.0240	Group Art Unit 2764 2122	Filing Date February 1, 1999

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
<i>10</i>	A	5,448,724	9/5/95	Hayashi	395	182.02	3/17/94
<i>10</i>	B	5,919,257	7/6/99	Trostle	713	200	8/8/97
<i>10</i>	C	5,931,946	8/3/99	Terada, et al.	713	201	2/6/97
<i>10</i>	D	5,991,881	11/23/99	Conklin, et al.	713	201	11/8/96
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FOREIGN PATENT DOCUMENTS

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							YES	NO
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NON-PATENT DOCUMENTS

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
<i>10</i>	V	"Introduction to Algorithms," by Thomas H. Cormen, Charles E. Leiserson, Ronald L. Rivest, Chap. 34, pp. 853-885, Copyright © 1990	
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[Signature]

DATE CONSIDERED

1/22/01

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PTO-1449 Information Disclosure Citation in an Application		Application No. 09/241,823		Applicant Kevin J. Ziese	
Docket Number 062891.0240		Group Art Unit Unknown 2122		Filing Date 2/1/99	

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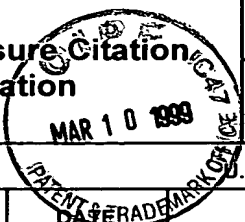

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11	A	5,436,342	8/18/98	Daniel Esbensen	395	187.01	11/21/96
11	B	5,793,763	8/11/98	Mayes, et al.	370	389	11/3/95
11	C	5,557,742	9/17/96	S.E. Smaha, et al.	395	186	3/7/94

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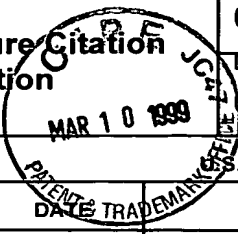
NON-PATENT DOCUMENTS			
		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
11	E	"Preliminary Report on Advanced Security Audit Trail Analysis on UNIX," N. Habra et al., pp. 1-34 (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	9/94
11	F	"IDIOT-Users Guide," M. Crosbie, et al., pp. 1-63, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	9/96
11	G	"An Introduction to Intrusion Detection," A. Sundaram, pp. 1-10, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown
11	H	"Use of A Taxonomy of Security Faults," T. Aslam, et al., pp. 1-10, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	9/96
11	I	"Artificial Intelligence and Intrusion Detection: Current and Future Directions," Jeremy Frank, pp. 1-12, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	6/94
11	J	"ASAX Conceptual Overview," ASAX Brochure, A. Mounji, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown
	K	"GrIDS-A Graph Based Intrusion Detection System For Large Networks," S. Staniford-Chen, et al., 10 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown
	L	"A Pattern Matching Model For Misuse Intrusion Detection," S. Kumar, et al., pp. 1-11, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown
	M	"An Application of Pattern Matching in Intrusion Detection", S. Kumar, et al., pp. 1-55, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	6/94
	N	"A Software Architecture to Support Misuse Intrusion Detection", S. Kumar, et al., pp. 1-17, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	3/95
	O	"Applying Genetic Programming to Intrusion Detection", M. Crosbie, et al., pp. 1-8, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown
	P	"Defending a Computer System Using Autonomous Agents", M. Crosbie, et al., pp. 1-11, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	3/94
11	Q	"Analysis Of An Algorithm For Distributed Recognition And Accountability", C. Ko, et al., pp. 1-11, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).	Unknown

EXAMINER 	DATE CONSIDERED 1/22/01
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PTO-1449		Application No 09/241,823		Applicant Kevin J. Ziese		
Information Disclosure Citation in an Application 		Docket Number 062891.0240		Group Art Unit Unknown	Filing Date 2/1/99	
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10	E	"A Standard Audit Trail Format", Matt Bishop, 10 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).				Unknown
10	F	Master Thesis entitled "USTAT A Real-time Intrusion Detection System for UNIX, University of California, K. Ilgun, pp. 1-204, (found at http://www.cs.purdue.edu/coast/archive/data/categ24.html).				11/92
10	G	"A Weakness in the 4.2BSD Unix TCP/IP Software", R. Morris, 4 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				2/85
10	H	"The Architecture and Implementation of Network-Layer Security Under Unix", J. Ioannidis, et al., 11 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				Unknown
10	I	"A Best-Case Network Performance Model", S.M. Bellovin, pp. 1-10, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				2/92
10	J	"OARnet Security Procedures", K. Varadhan, pp. 1-14, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				9/92
	K	"Paving The Road To Network Security Or The Value Of Small Cobblestones", H. Orman, et al., pp. 1-17, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				5/94
	L	"Packets Found on an Internet", S. Bellovin, pp. 1-6, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				8/93
	M	"Security Problems in the TCP/IP Protocol Suite", S.M. Bellovin, (reprinted from Computer Communication Review, Vol. 19, No. 2, pp. 32-48) pp. 1-17.				4/89
	N	"A Security Analysis of the NTP Protocol", Matt Bishop, pp. 1-20, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				1990
	O	"WAN-hacking with AutoHack-Auditing Security Behind the Firewall", Alec Muffett, 14 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				6/95
	P	"ACMAINT: An Account Creation and Maintenance System for Distributed UNIX Systems", D.A. Curry, et al., pp. 1-9, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				10/90
10	Q	"NFS Tracing By Passive Network Monitoring", Matt Blaze, 11 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).				Unknown
EXAMINER			DATE CONSIDERED			
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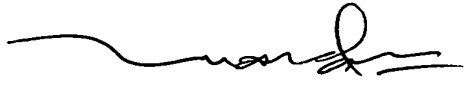
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Docket Number 062891.0240		Group Art Unit Unknown		Application No. 2/1/99	



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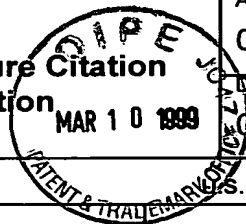
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<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">P.D.</div> <div>E "Pseudo-Network Drivers and Virtual Networks", S.M. Bellovin, 15 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
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<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>G "Countering Abuse of Name-Based Authentication", C.L. Schuba, et al., pp. 1-21., (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>H "The 'Session Tty' Manager", S.M. Bellovin, pp. 1-16., (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>I "Secure RPC Authentication (SRA) for TELNET and FTP", D.R. Safford, et al., pp. 1-5, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	1993
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>J "A Reliable and Secure UNIX Connection Service", D. Draheim, et al., pp. 1-12, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>K "TCP Wrapper Network Monitoring, Access Control, and Booby Traps", Wietse Venema, 8 pages., (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>L "Characteristics of Wide-Area TCP/IP Conversations", R. Cáceres, et al., pp. 1-12, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>M "A Unix Network Protocol Security Study: Network Information Service", D.K. Hess, et al., 5 pages, (found at http://www.cs.purdue.edu/coast/archive/data/categ30.html).</div> </div>	Unknown
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>N "Insertion, Evasion, and Denial of Service: Eluding Network Intrusion Detection", T.H. Ptacek et al., pp. 1-63.</div> </div>	1/98
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>O "A Method to Detect Intrusive Activity in a Networked Environment", L.T. Heberlein et al., <i>Proc. of the 14th National Computer Security Conference</i>, Oct. 1991, pp. 362-371., (found at http://seclab.cs.ucdavis.edu/papers.html).</div> </div>	1991
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>P "Internetwork Security Monitor: An Intrusion-Detection System for Large-Scale Networks", L.T. Heberlein et al., <i>Proc. of the 15th National Computer Security Conference</i>, October 1992, pp. 262-271.</div> </div>	1992
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">1</div> <div>Q "Comparison Between Internet Security Scanner (ISS) 1.x and Internet Scanner 3.2", by Internet Security Systems., (found at http://www.iss.net).</div> </div>	1996
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">P.D.</div> <div>R "Automated Tools for Testing Computer System Vulnerability", W.T. Polk, 40 pages.</div> </div>	12/92

EXAMINER 	DATE CONSIDERED 7/19/01
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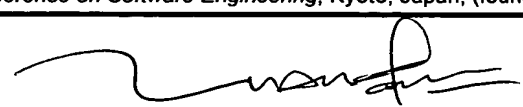
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PTO-1449		Application No. 09/241,823		Applicant(s) Kevin J. Ziese	
Information Disclosure Citation in an Application 		Docket Number 062891.0240		Group Art Unit Unknown 2122	Filing Date 2/1/99
		U.S. PATENT DOCUMENTS			


		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
12	A	5,032,979	7/16/91	Hecht et al.	364		MAR 11 1999
	B	5,278,901	1/11/94	Shieh et al.	380		4/30/92
	C	5,101,402	3/31/92	Chiu et al.	370	17	5/24/98
	D	5,414,833	5/9/95	Hershey et al.	395	575	10/27/93
	E	5,826,014	10/20/98	Coley et al.	395	187.01	2/6/96
	F	5,805,801	9/8/98	Holloway et al.	395	187.01	1/9/97
	G	5,798,706	8/25/98	Kraemer et al.	340	825.07	6/18/96
	H	5,699,513	12/16/97	Feigen et al.	395	187.01	3/31/95
	I	5,621,889	4/15/97	Lermuzeaux et al.	395	186	6/8/94
	J	5,606,668	2/25/97	Gil Shwed	395	200.11	12/15/93
	K	5,524,238	6/4/96	Miller et al.	395	600	3/23/94
12	L	5,488,715	1/30/96	Paul Wainwright	395	182.02	8/1/94

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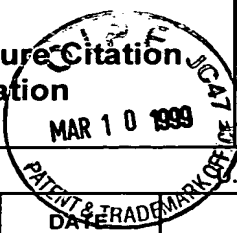
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12	N "The Design of GrIDS: A Graph-Based Intrusion Detection System, S. Cheung et al., <i>U.C. Davis Computer Science Department Technical Report SCE-99-2</i> , 1999, pp. 1-47, (found at http://seclab.cs.ucdavis.edu/papers.html .)
12	O "Luby-Rackoff Backwards: Increasing Security by Making Block Ciphers Non-Invertible", M. Bellare, et al., <i>Advances in Cryptology-Eurocrypt 98 Proceedings, Lecture Notes in Computer Science</i> , Vol. 1403 Springer-Verlat (1998) pp. 1-27, (found at http://seclab.cs.ucdavis.edu/papers.html .)
12	P "Detecting Disruptive Routers: A Distributed Network Monitoring Approach", K.A. Bradley, et al., <i>Proceedings of the 1998 IEEE Symposium on Security and Privacy</i> , Oakland, CA, pp. 115-124 (found at http://seclab.cs.ucdavis.edu/papers.html .)
12	Q "Stack and Queue Integrity on Hostile Platforms", P.T. Devanbu, et al., <i>IEEE Symposium on Security and Privacy</i> , Oakland CA, (found at http://seclab.cs.ucdavis.edu/papers.html .)
12	R "Techniques for Trusted Software Engineering", P.T. Devanbu et al., <i>Proceedings of the 20th International Conference on Software Engineering</i> , Kyoto, Japan, (found at http://seclab.cs.ucdavis.edu/papers.html .)

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E	"Data Level Inference Detection in Database Systems", R.W. Yip et al., <i>Proceedings of the 11th IEEE Computer Security Foundations Workshop</i> , Rockport, Massachusetts, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1998
F	"The Design and Implementation of a Data Level Database Inference Detection System", Yip et al., <i>Proceedings of the Twelfth Annual IFIP WG 11.3 Working Conference on Database Security</i> , Chalkidiki, Greece 14 pages, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1998
G	"Theft of Information in the Take-Grant Protection Model", Matt Bishop, 35 pages, <i>Journal of Computer Security</i> 4(4)(1996), (found at http://seclab.cs.ucdavis.edu/papers.html .)					3/13/97
H	"Information Survivability, Security, and Fault Tolerance", Matt Bishop, position paper for the Information Survivability Workshop <i>Journal of Computer Security</i> #6) 1 page, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
I	"Teaching Computer Security", Matt Bishop, position paper for the <i>Workshop on Education in Computer Security</i> , Monterey CA, 3 pages, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
J	"Protecting Routing Infrastructures from Denial of Service Using Cooperative Intrusion Detection", S. Cheung et al., <i>Proc. new Security Paradigms Workshop</i> , Cumbria, UK 13 pages, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
K	"An Efficient Message Authentication Scheme for Link State Routing", S. Cheung, <i>Proc. 13th annual Computer Security Applications Conference</i> , San Diego, CA, 9 pages, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
L	"Cryptographic Verification of Test Coverage Claims", P. Devanbu et al., <i>Proceedings, Fifth ACM/SIGSOFT Conference on Foundations of Software Engineering Zurich</i> , Switzerland) (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
M	"Property-Based Testing: A New Approach to Testing for Assurance", Fink et al., <i>ACM SIGSOFT Software Engineering Notes</i> , 22(4), (found at http://seclab.cs.ucdavis.edu/papers.html .)					1997
N	"Checking for Race Conditions in File Accesses", Bishop et al., <i>Computing Systems</i> 9(2), (found at http://seclab.cs.ucdavis.edu/papers.html .)					1996
O	"An Isolated Network for Research", Bishop et al., <i>The 19th NISSC</i> , pp. 1-9, (found at http://seclab.cs.ucdavis.edu/papers.html .)					1996
P	"Goal-Oriented Auditing and Logging", Bishop et al., submitted to <i>IEEE Transactions on Computing Systems</i> , (found at http://seclab.cs.ucdavis.edu/papers.html .)					1996
Q	"Extending The Take-Grant Protection System", J. Frank et al., <i>The IEEE Oakland Conference on Research in Security and Privacy</i> , (found at http://seclab.cs.ucdavis.edu/papers.html .)					12/5/96
R	"Network Security Via Reverse Engineering of TCP Code: Vulnerability Analysis and Proposed Solutions, Guha et al., <i>Proc. of the IEEE Infocom '96</i> , San Francisco, CA (found at http://seclab.cs.ucdavis.edu/papers.html .)					1996
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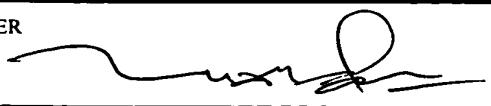


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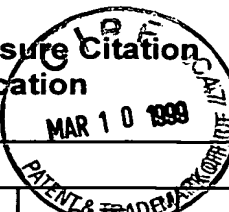
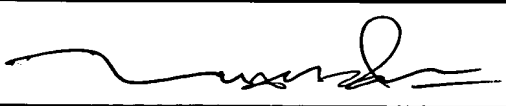
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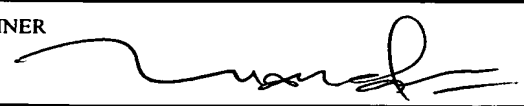
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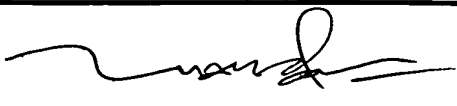
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	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
12	F "Attack Class: Address Spoofing", Heberlein et al., The 19th National Information Systems Security Conference, (found at http://seclab.cs.ucdavis.edu/papers.html).	1996
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1	H "A Methodolbgy for Testing Intrusion Detection Systems", Puketza et al., <i>IEEE Transactions on Software Engineering</i> , Vol. 22, No. 10, (found at http://seclab.cs.ucdavis.edu/papers.html).	1996
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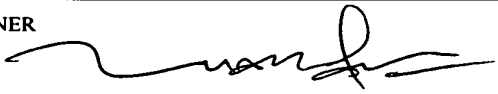
EXAMINER 	DATE CONSIDERED 7/19/01
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PTO-1449		Application No. 09/241,823		Applicant(s) Kevin J. Ziese		
Information Disclosure Citation in an Application 		Docket Number 062891.0240		Group Art Unit Unknown	Filing Date 2/1/99	
		U.S. PATENT DOCUMENTS				
	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
A						MAR 11 1999
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C						Group 2700
FOREIGN PATENT DOCUMENTS						
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
D						
NON-PATENT DOCUMENTS						
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10	E	"Bucket Hashing and its Application to Fast Message Authentication", Phillip Rogaway, <i>Advances in Cryptology - CRYPTO '95</i> , (found at http://seclab.cs.ucdavis.edu/papers.html).				1995
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FOREIGN PATENT DOCUMENTS					
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N	Abstract entitled "A Little Knowledge Goes a Long Way: Faster Detection of Compromised Data in 2-D Tables" by D. Gusfield, <i>Proc. of the 1990 IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, 7-9 May 1990, pp. 86-94, (found at http://seclab.cs.ucdavis.edu/papers.html).				5/90
O	Abstract entitled "A Network Security Monitor" by L.T. Heberlein, G.V. Dias, K.N. Levitt, B. Mukherjee, and others <i>Proc. of the 1990 IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, 7-9 May 1990, pp. 296-304, (found at http://seclab.cs.ucdavis.edu/papers.html).				5/90
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		U.S. PATENT DOCUMENTS				
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A						RECEIVED MAR 11 1999
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FOREIGN PATENT DOCUMENTS						Group 2700
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DOCUMENT (Including Author, Title, Source, and Pertinent Pages)						DATE
E	Abstract entitled "Static Analysis Virus Detection Tools for UNIX Systems" by P. Kerchen, et al., <i>Proc. 13th National Computer Security Conference</i> , Washington, DC, 1-4 Oct. 1990, pp. 350-365, (found at http://seclab.cs.ucdavis.edu/papers.html).					10/90
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J	Abstract entitled "An Authentication Mechanism for USENET" by M. Bishop, <i>Proc. of the Winter 1991 USENIX Conference</i> , 21-25 Jan. 1991, pp. 281-287, (found at http://seclab.cs.ucdavis.edu/papers.html).					1/91
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M	Abstract entitled "Recent Changes to Privacy Enhanced Electronic Mail" by M. Bishop, <i>Journal of Internetworking: Research and Experience</i> , Vol. 4, No. 1, March 1993, pp. 47-59. (found at http://seclab.cs.ucdavis.edu/papers.html).					3/93
N	Abstract entitled "A Modified Random Perturbation Method for Database Security" by P. Tendick, N. Matloff, <i>ACM Transactions on Database Systems</i> , March 1994, Vol. 19, No. 1, pp. 47-63, (found at http://seclab.cs.ucdavis.edu/papers.html).					3/94
O	Short presentation entitled "Intrusion Detection for network Infrastructures" by S. Cheung, K.N. Levitt, C. Ko. <i>The 1995 IEEE Symposium on Security and Privacy</i> , Oakland CA.					5/95
P	Master Thesis entitled "Paradigms for the Reduction of Audit Trails" by B. Wetmore, pp. i-6. Unable to obtain entire thesis - portion downloaded from http://seclab.cs.ucdavis.edu/papers.html .					1993
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FOREIGN PATENT DOCUMENTS						
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
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DOCUMENT (Including Author, Title, Source, and Pertinent Pages)						DATE
E	Product description for "Oil Change" located on the Internet at http://store.mcafee.com/product.asp?ProductID=28&CategoryID=12 , pp.1-2					Unknown
F	NetRanger 1.3 User's Guide, Copyright © 1997 by WheelGroup Corporation, NetRanger product first available summer of 1996.					1996
G	"Information Security and Privacy in Network Environments," by U.S. Office of Technology Assessment, OTA-TCT-606 (Washington DC: US Government Printing Office).					9/94
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